

FORM PTO-1449 (MODIFIED)					ATTY. DOCK NO. 38600.000# 73	SERIAL NO. 08/682,859				
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT  (USE SEVERAL SHEETS IF NECESSARY)					APPLICANT Peter Nordin et al.  #5					
					FILING DATE July 12, 1996	GROUP 2315 2760				
REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS							
EXAMINER INITIALS		U.S. PATENT NUMBER			DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE	
	AA									
	AB									
	AC									
	AD									
	AE									
	AF									
	AG									
	AH									
	AI									
	AJ									
FOREIGN PATENT DOCUMENTS										
		FOREIGN PATENT NUMBER			DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
									YES	NO
	AK									
	AL									
	AM									

## OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

RWD	AN	ANDREW SCHULMAN, DAVID MAXEY, MATT PIETREK, "Undocumented Windows", 1992, pp. 189-398, Addison-Wesley Publishing Company
	AO	
	AP	

EXAMINER <i>Robert W. Downs</i>	DATE CONSIDERED <i>1/20/98</i>
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EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

FORM PTO-1449 (MODIFIED)

ATTY. DOCS  
NO. 38600.0001E

SERIAL NO. 08/682,859

LIST OF PATENTS AND PUBLICATIONS FOR  
INFORMATION DISCLOSURE STATEMENT  
(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT Peter Nordin and Wolfgang Banzhaf

#4

FILING DATE  
07/12/96GROUP  
2760

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAM- INER INITIALS		U.S. PATENT NUMBER							DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPRO- PRIATE	
		4	9	3	5	8	7	7						
RWD	AA	4	9	3	5	8	7	7	06/19/90	Koza	364	395	513 13	5/20/88
RWD	AB	5	1	3	6	6	8	6	08/04/92	Koza	395		13	11/05/91
RWD	AC	5	3	9	0	2	8	2	02/14/95	Koza et al.	395		13	06/16/92
RWD	AD	5	3	4	3	5	5	4	08/30/94	Koza et al.	395		13	05/11/92
RWD	AE	5	1	4	8	5	1	3	09/15/92	Koza et al.	395		13	09/18/90
RWD	AF	5	4	4	0	7	2	3	08/08/95	Arnold et al.	395		181	01/19/93
RWD	AG	5	1	4	0	5	3	0	08/18/92	Guha et al.	395		13	03/28/89
RWD	AH	5	4	2	8	7	0	9	06/27/95	Banzhaf	395		13	08/20/93
RWD	AI	5	4	7	1	5	9	3	11/28/95	Branigin	395		275 24	01/21/94
RWD	AJ	5	4	3	4	7	9	6	07/18/95	Weininger	364		496	06/30/93
RWD	AK	5	4	0	0	4	3	6	03/21/95	Nara et al.	395		13	12/23/91
RWD	AL	5	3	9	4	5	0	9	02/28/95	Winston	395		13	03/31/92
RWD	AM	5	3	9	0	2	8	3	02/14/95	Eshelman et al.	395		13	10/23/92
RWD	AN	5	3	0	1	2	5	6	04/05/94	Nakamura	395		10	09/17/92
RWD	AO	5	2	7	4	7	4	4	12/28/93	Yu et al.	395		24	01/21/92
RWD	AP	5	2	5	5	3	4	5	10/19/93	Shaefer	395		13	09/01/92
RWD	AQ	5	2	4	9	2	5	9	09/28/93	Harvey	395		13	05/28/92
RWD	AR	5	2	4	5	6	9	6	09/14/93	Stork et al.	395		13	11/21/90
RWD	AS	5	2	2	4	1	7	6	06/29/93	Crain	382		34 136	07/01/92
RWD	AT	5	2	2	2	1	9	2	06/22/93	Shaefer	395		13	09/03/92
RWD	AU	5	1	8	2	7	9	3	01/26/93	Alexander et al.	395		13	06/09/92
RWD	AV	5	0	4	8	0	9	5	09/10/91	Bhanu et al.	382		173	03/30/90
RWD	AW	4	9	6	1	1	5	2	10/02/90	Davis	364	395	513 13	06/10/88
RWD	AX	4	8	8	1	1	7	8	11/14/89	Holland et al.	364	395	513 13	05/07/87
RWD	AY	4	8	2	1	3	3	3	04/11/89	Gillies	382		49 308	08/22/86
RWD	AZ	4	6	9	7	2	4	2	09/29/87	Holland et al.	364	395	513 13	06/11/84
RWD	BA	5	4	5	5	9	3	8	10/03/95	Ahmed et al.	364		488	09/14/94

## FOREIGN PATENT DOCUMENTS

Robert W. Downs

1/20/98

OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

#4

RWD	BB	JOHN R. KOZA, "Genetic Programming - On the Programming of Computers by Means of Natural Selection", 1992, pp. 1-786, Massachusetts Institute of Technology, USA
RWD	BC	EARL COX "The Fuzzy Systems Handbook: A Practitioner's Guide To Building, Using, And Maintaining Fuzzy Systems" Chapter 3, 1994, pp. 21-121, by Academic Press, Inc., London
RWD	BD	VALLURU RAO, "C++ Neural Networks and Fuzzy Logic", 1995, Chapter 7, pp. 123-177, MIS:Press, USA
RWD	BE	VALLURU RAO, "C++ Neural Networks and Fuzzy Logic", 1995, Chapter 9, pp. 217-242, MIS:Press, USA
RWD	BF	KENNETH B. KINNEAR, JR. "Advances in Genetic Programming", 1994, Chapter 2, pp. 22-42, Massachusetts Institute of Technology, USA
RWD	BG	KENNETH B. KINNEAR, JR. "Advances in Genetic Programming", 1994, Chapter 14, pp. 311-331, Massachusetts Institute of Technology, USA
RWD	BH	KENNETH B. KINNEAR, JR. "Advances in Genetic Programming", 1994, Chapter 1, pp. 3-19, Massachusetts Institute of Technology, USA
RWD	BI	KENNETH B. KINNEAR, JR. "Advances in Genetic Programming", 1994, Chapter 5, pp. 99-117, Massachusetts Institute of Technology, USA
RWD	BJ	KENNETH B. KINNEAR, JR. "Advances in Genetic Programming", 1994. Chapter 13, pp. 285-310, Massachusetts Institute of Technology, USA
RWD	BK	KENNETH B. KINNEAR, JR. "Advances in Genetic Programming", 1994, II, pp. 43-45, Massachusetts Institute of Technology, USA
RWD	BL	KENNETH B. KINNEAR, JR. "Advances in Genetic Programming", 1994, Chapter 9, pp. 200-219, Massachusetts Institute of Technology, USA
RWD	BM	PATRIK D'HAESELEER "Context Preserving Crossover in Genetic Programming", June 27-29, 1994, pp. 256-261, volume 1, IEEE Press, USA, In Proceedings of the 1994 IEEE World Congress on Computational Intelligence
RWD	BN	W.B. LANGDON "Directed Crossover within Genetic Programming", February 9, 1996, Dept. of Computer Science, University College London
RWD	BO	PETER NORDIN, FRANK FRANCONE AND WOLFGANG BANZHAF "Explicitly Defined Introns and Destructive Crossover in Genetic Programming", July 30, 1995, MIT Press, Cambridge, MA, Advances in Genetic Programming II
RWD	BP	PETER NORDIN, WOLFGANG BANZHAF "Evolving Turing-Complete Programs for a Register Machine with Self-modifying Code", 1995, Proc. of Int. Conference on Genetic Algorithms, USA
RWD	BQ	PETER NORDIN, WOLFGANG BANZHAF "Complexity Compression and Evolution", 1995, Proc. of Int. Conference on Genetic Algorithms, USA
RWD	BR	PETER NORDIN, WOLFGANG BANZHAF "Genetic Programming Controlling a Miniature Robot", November 10-12, 1995, pp. 61-67, AAAI Fall Symposium Series, Symposium on Genetic Programming, MIT, Cambridge, MA
RWD	BS	PETER NORDIN, WOLFGANG BANZHAF "Real Time Evolution of Behavior and a World Model for a Miniature Robot using Genetic Programming", May 1995, pp. 1-32, Dept. of CS, University of Dortmund, Germany
RWD	BT	ARTHUR S. BICKEL, RIVA WENIG BICKEL "Tree Structured Rules in Genetic Algorithms", July 28-31 1987 pp. 77-81, Lawrence Erlbaum Associates: Hillsdale, New Jersey, In John J. Grefenstette, editor, Genetic Algorithms and their Applications: Proceedings of the Second International Conference on Genetic Algorithms and Their Applications, MIT, USA

Robert W. Downs

1/20/88

References starting with 'BK' were found in serial AIA 08/679,555 paper #4 2

RWD	BU	CORY FUJIKAWA, J.C. WILKINSON "Using the Genetic Algorithm to Generate Lisp Source Code to Solve the Prisoner's Dilemma", July 1987, USA, Grefenstette: Proceedings of Second International Conference on Genetic Algorithms, 1987, pp. 19-22, Grefenstette: Proceedings
RWD	BV	KENNETH DE JONG "On Using Genetic Algorithms to Search Program Spaces", 1987, Grefenstette: Proceedings of Second International Conference on Genetic Algorithms
RWD	BW	NICHAEAL LYNN HORNER "A Representation for the Adaptive Generation of Simple Sequential Programs", 1985, pp. 183-187, Grefenstette: Proceedings of First International Conference on Genetic Algorithms
RWD	BX	R.M. FRIEDBERG "A Learning Machine", IBM Journal, January 1958, pp. 2-13, Part I
RWD	BY	R.M. FRIEDBERG "A Learning Machine", IBM Journal, July 1959, pp. 282-287, Part II
RWD	BZ	WALTER ALDEN TACKETT "Recombination, Selection, and the Genetic Construction of Computer Programs", 1994, Chapter 5, pp. 84-96, A Dissertation Presented to the Faculty of the Graduate School University of Southern California
RWD	CA	C.E. RASMUSSEN, R.M. NEAL, G.E. HINTON, D. van CAMP, M. REVOW, Z. GHAHRAMANI, R. KUSTRA and R. TIBSHIRANI "The DELVE Manual" 1995-1996, pp. 1-102, Version 1.0a, The University of Toronto, Canada
RWD	CB	PROF. DR. ING. I. RECHENBERG, "evoC 2.0 user manual" June 12, 1994, Technical University of Berlin, Germany
RWD	CC	DOUGLAS ZONGKER, DR. BILL PUNCH, BILL RAND "Lil-GP 1.10 User's Manual", 1995, Michigan State University, USA
RWD	CD	Overview of GALib, Genetic Algorithm Library, 1995, MIT
RWD	CE	ANDREW HUNTER "SUGAL User Manual", July 1995, pp. 1-55, V2.1
RWD	CF	HELMUT HORNER "AC++ Class Library for Genetic Programming: The Vienna University of Economics Genetic Programming Kernel", May 29, 1996, pp. 1-67
RWD	CG	DAVID LEVINE "User's Guide to the PGApack Parallel Genetic Algorithm Library", January 31, 1996, pp. 1-47, Mathematics and CS Division, Argonne National Laboratory, USA
RWD	CH	RONALD L. CRAPEAU "Genetic Evolution of Machine Language Software", July 9, 1995, pp. 121-134

EXAMINER	DATE CONSIDERED
Robert W. Down	1/20/98

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

#4

FORM PTO-1449 (MODIFIED)		ATTY. DOCKET NO. 38600.000113	SERIAL NO. 08/674,337	
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT 66605 (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Peter Nordin		
SEP 08 1997 REFERENCE DESIGNATION		FILING DATE 7/12/1996	GROUP 2300 2760	
EXAMINER INITIALS:	U.S. PATENT DOCUMENTS			
	U.S. PATENT NUMBER	DATE	NAME	CLASS
	AA			
	AB			
	AC			
	AD			
	AE			
	AF			
	AG			
AH				
AI				
AJ				
FOREIGN PATENT DOCUMENTS				
FOREIGN PATENT NUMBER	DATE	COUNTRY	CLASS	TRANSLATION
AK				YES
AL				NO
AM				

OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

RWD	BB	<i>Synthesis: An Efficient Implementation of Fundamental Operating System Services</i> , (1992) Henry Massalin, Doctorate Thesis of Philosophy, Columbia University
RWD	BC	<i>Bottom-up Tree Acceptors</i> , (November 1988, Revised August 1989) C. Hemerick, et al., Dept. of Mathematics and Computing Science, Eindhoven University of Technology
RWD	BD	<i>Compiler Generation for Interactive Graphics using Intermediate Code</i> , (February 1996), Scott Draves, Dept. of Computer Science, Carnegie Mellon University
RWD	BE	<i>A Declarative Approach to Run-Time Code Generation</i> , (2/96), Mark Leone, et al., Dept. of Computer Science, Carnegie Mellon University
RWD	BF	<i>Code Generation Based on Formal BURS Theory and Heuristic Search</i> , (11/95), A. Nymaneyer, et al., Dept. of Computer Science, University of Twente
RWD	BG	<i>Optimizing ML with Run-Time Code Generation</i> (May 1996), Mark Leone, et al., Dept. of Computer Science, Carnegie Mellon University
RWD	BH	<i>Deferred Compilation: The Automation of Run-Time Code Generation</i> (December 1993) Mark Leone, et al., Dept. of Computer Science, Carnegie Mellon University
RWD	BI	<i>Lightweight Run-Time Code Generation</i> , (June 1994), Mark Leone, et al., Dept. of Computer Science, Carnegie Mellon University
RWD	BJ	<i>Fast Data Breakpoints</i> (May 3, 1990, Revised April 14, 1993), David Keppel, Dept. of Computer Science and Engineering, University of Washington
RWD	BL	<i>Evaluating Runtime-Compiled Value-Specific Optimizations</i> , (11/2/93), David Keppel, et al., Dept. of Computer Science and Engineering, University of Washington
RWD	BM	<i>A Portable Interface for On-The-Fly Instruction Space Modification</i> , (4/91), David Keppel, Dept. of Computer Science and Engineering, University of Washington
RWD	BN	<i>A Case for Runtime Code Generation</i> (11/4/91), David Keppel, et al., Dept. of Computer Science and Engineering, University of Washington
RWD	BO	<i>Data Specialization</i> (2/5/96), Todd B. Knoblock et al., Advanced Technology Division, Microsoft Corp.
RWD	BP	<i>Fast, Effective Dynamic Compilation</i> (In PLDI'96), Joel Auslander, et al., Dept. of Computer Science and Engineering, University of Washington
RWD	BQ	<i>Specializing Shaders</i> , (5/12/96), Brian Guenter et al., Advanced Technology Division, Microsoft Corp.
RWD	BR	<i>Detection and Optimization of Suspension-Free Logic Programs</i> , (1994), Saumya Debray et al., Dept. of Computer Science, University of Arizona, Tucson
RWD	BS	<i>Transit Note #103 Computational Quasistatics</i> (2/94, Last update 10/25/94), Andre DeHon, Ian Eslick
RWD	BT	<i>Rewriting Executable Files to Measure Program Behavior</i> , (3/92), James R. Larus et al.,
RWD	BU	<i>The Mahler Experience: Using an Intermediate Language as the Machine Description</i> , (1987), David W. Wall et al., Western Research Laboratory, Digital Equipment Corporation
RWD	BV	<i>EEL: Machine-Independent Executable Editing</i> (6/95), James R. Larus et al., Dept. of Computer Sciences, University of Wisconsin - Madison
RWD	BW	<i>Instruction Scheduling and Executable Editing</i> , (2/2/96), Eric Schnarr et al., Dept. of Computer Sciences, University of Wisconsin - Madison
RWD	BX	<i>Global Register Allocation at Link Time</i> (1986), David W. Wall, Western Research Laboratory, Digital Equipment Corporation
RWD	BY	<i>Long Address Traces From RISC Machines: Generation and Analysis</i> (9/84), Anita Borg et al., Western Research Laboratory, Digital Equipment Corporation
RWD	BZ	<i>OPT: A Quick Program Profiling and Tracing System</i> , (5/14/96), James R. Laurus, Dept. of Computer Sciences, University of Wisconsin - Madison

Considered References were found in Serial No. 08/679,555

Robert U. Down

1/20/98 Paper #7

R&D	CA	<u>Experience With a Software-Defined Machine Architecture</u> , (8/91), David W. Wall, Western Research Laboratory, Digital Equipment Corporation
R&D	CB	<u>Systems for Late Code Modification</u> , (5/92), David W. Wall, Western Research Laboratory, Digital Equipment Corporation
R&D	CC	<u>Link-Time Optimization of Address Calculation on a 64-bit Architecture</u> , (2/94), Amitabh Srivastava et al., Western Research Laboratory, Digital Equipment Corporation
R&D	CD	<u>ATOM: A System for Building Customized Program Analysis Tools</u> , (3/94), Amitabh Srivastava et al., Western Research Laboratory, Digital Equipment Corporation
R&D	CE	<u>Shade: A Fast Instruction-Set Simulator for Execution Profiling</u> (1994), Bob Cmelik, Sun Microsystems, Inc. and David Keppel, Dept. of Computer Science and Engineering, University of Washington
R&D	CF	<u>Dynamic-Linking-for-Mobile-Programs</u> , (1994), Anurag Acharya et al., Dept. of Computer Science, University of Maryland, College Park
	CG	<u>Linking-While the Program is Running - Run-time dynamic linking in OS/2</u> (1994), Andrew Schulman, Dr. Dobbs Journal
	CH	<u>EEL: Machine-Independent Executable Editing</u> , (10/1994), James R. Larus, Dept. of Computer Science and Engineering, University of Washington
	CI	<u>EEL: An Executable Editing Library</u> (1994), James R. Larus, Dept. of Computer Science and Engineering, University of Washington
R&D	CJ	<u>GNU Superoptimizer</u> , (1995) Torbjorn Granlund, HP-UX Porting and Archive Center
R&D	CK	<u>Superoptimizer-A Look at the Smallest Program</u> , (1987) Henry Massalin, Dept. of Computer Science, Columbia University
R&D	CL	<u>Elements of Machine Learning</u> , Chapter 5 - The Construction of Decision Lists, Pat Langley, Stanford University / 1996
R&D	CM	<u>OuaC: Binary Optimization for Fast Runtime Code Generation in C</u> , Curtis Yarvin, Adam Sah
R&D	CN	<u>VCODE Tutorial</u> , (4/28/96), Dawson R. Engler, Laboratory for Computer Science, Massachusetts Institute of Technology
	CO	<u>VCODE: Fast, Simple Dynamic Code Generation</u> , Dawson Engler, Laboratory for Computer Science, Massachusetts Institute of Technology
R&D	CP	<u>VCODE: A Retargetable, Extensible, Very Fast Dynamic Code Generation System</u> (1995), Dawson R. Engler, Laboratory for Computer Science, Massachusetts Institute of Technology
	CQ	<u>tcc: A Template-Based Compiler for C</u> , Massimilano Poletto et al., Laboratory for Computer Science, Massachusetts Institute of Technology
	CR	<u>tcc: A System for Fast, Flexible, and High-Level Dynamic Code Generation</u> , Massimilano Poletto et al., Laboratory for Computer Science, Massachusetts Institute of Technology
	CS	<u>DCG: Efficient Retargetable Dynamic Code Generation</u> , Dawson Engler, Laboratory for Computer Science, Massachusetts Institute of Technology

EXAMINER	Robert W. Downs	DATE CONSIDERED	1/20/98
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EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

[a:Form2.PTO]

Considered References were found  
in Serial No. 08/679,555 Paper #7

#6

FORM PTO-1449 (MODIFIED) NOV 17 1997 SEARCHED INDEXED MAILED TRADEMARK REGISTRATION SEARCHED INDEXED MAILED JULY 1998	ATTY. DOCKET NO. 38600.0001B	SERIAL NO. 08/682,859
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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (USE SEVERAL SHEETS IF NECESSARY)	APPLICANT Peter Nordin et al.	
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	FILING DATE 07/12/96	GROUP 2309-2760
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REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS											
EXAMINER INITIALS		U.S. PATENT NUMBER							DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE
RWD	AA	5	2	2	2	1	9	2	06/22/93	Shaefer	395	13	09/03/92
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	AK													
	AL													
	AM													

## OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

AN	
AO	
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EXAMINER <i>Robert W. Downs</i>	DATE CONSIDERED <i>1/20/98</i>
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O P E R A T I O N S LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT <small>SEP 29 1987 U.S. PATENT &amp; TRADEMARK OFFICE USE SEVERAL SHEETS IF NECESSARY)</small>									ATTY. DOCKET NO. 38600.0001B	SERIAL NO. 08/682,859		
									FILING DATE 07/12/96	GROUP 2760		
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BA	5	4	5	5	9	3	8	10/03/95	Ahmed et al.	364	488	09/14/94

## FOREIGN PATENT DOCUMENTS

Already Considered in Paper #4  
 Robert W. Dourn 11/20/88

		FOREIGN PATENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES	NO

OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

BB	JOHN R. KOZA, "Genetic Programming - On the Programming of Computers by Means of Natural Selection", 1992, pp. 1-786, Massachusetts Institute of Technology, USA
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BF	KENNETH B. KINNEAR, JR. "Advances in Genetic Programming", 1994, Chapter 2, pp. 22-42, Massachusetts Institute of Technology, USA
BG	KENNETH B. KINNEAR, JR. "Advances in Genetic Programming", 1994, Chapter 14, pp. 311-331, Massachusetts Institute of Technology, USA
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